

BEST AVAILABLE COPY

Serial No.: 10/629,976
Filed: July 30, 2003

REMARKS**Rejection of Claims under 35 U.S.C. § 102**

The Examiner has rejected claims 16-24 under 35 U.S.C. § 102(e) as being anticipated by Jones et al., U.S. Patent No. 6,512,098.

The Examiner has refused to enter the amendment to the specification filed on November 14, 2006, which amends the priority claim in the present application to include that the present application is a continuation of Application No. 09/824,827, filed April 2, 2001, Patent No. 6,627,744, which in turn claims the benefit of U.S. patent applications Ser. No. 09/347,029, filed Jul. 2, 1999, Patent No. 6,512,098, and Ser. No. 09/556,466, filed Apr. 21, 2000. The Examiner states that "The changes made to 35 U.S.C. § 102 (e) by the American Inventors Protection Act of 1999 and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. § 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. § 102(e))".

Applicants respectfully traverse the rejection for the following reasons.

The present application is a continuation application of application Serial No. 09/824,827, which was filed on April 4, 2002 and issued as U.S. Patent 6,627,744. A copy of the Utility Application Transmittal is attached as Exhibit A. Exhibit A shows that the present application was filed as a continuation of prior U.S. application Serial No. 09/824,827, and it directs the Office to amend the specification by inserting before the first line the sentence: --This is a continuation of application Serial No. 09/824,827, filed April 2, 2001-- The specification as filed also discloses a priority claim to U.S. Patent Applications 09/347,029, filed July 2, 1999 and 09/556,466, filed April, 2000 (see page 1 of the specification). Parent application Serial No. 09/824,827 was filed as a U.S.

Certificate Of Mailing by **EXPRESS MAIL**

I hereby certify that this correspondence is being deposited with the US Postal Services Express Mail Post Office To Addressee service under 37 CFR 1.10 Express Mail Label No. EV 299 896 419 US and addressed to MS Patent Application, the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Date: July 30, 2003By: 
Kay L. SaviglioRECEIVED
CENTRAL FAX CENTER05100
PATENT TRADEMARK OFFICE

EXHIBIT A

FEB 09 2007

PATENT
Docket No. GC541-4-C1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT
APPLICATION TRANSMITTAL

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Enclosed for filing is the utility patent application

- ☒ Continuation
☐ Divisional
☐ Continuation-in-Part

of prior application No. 09/824,827

Inventors: Benjamin G. Davis, John Bryan Jones, Richard R. Bott

Title: SYNTHESIS AND USE OF GLYCODENDRIMER REAGENTS

Also enclosed are:

1. ☒ Fee Transmittal Form submitted in duplicate
2. ☒ Specification Total Pages: 45
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Federal Sponsored R&D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claims
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) Total Sheets: 19 - Figures 1 -22

EXHIBIT A

4. ☒ Oath or Declaration Total Pages: 4

- a. ☐ Newly executed (original or copy)
b. ☒ Copy from a prior application (37 CFR 1.63(d))

5. ☒ Incorporation By Reference (useable if Box 4b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4B, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Copy (diskette)
b. ☐ Paper Copy
c. ☐ Statement verifying identity of above copies

Accompanying Application Parts:

8. ☐ Assignment Papers (cover sheet and documents)
9. ☐ 37 CFR 3.73(b) Statement (when there is an Assignee)
10. ☐ English Translation Document
11. ☐ Information Disclosure Statement (IDS/PTO-1449)
12. ☒ Preliminary Amendment.
13. ☒ Amend the specification by inserting before the first line the sentence:
-This is a ☒ continuation ☐ divisional ☐ continuation-in-part of application
Serial No. 09/824,827, filed April 2, 2001-.
14. ☐ Cancel in this application original claims _____ of the prior
application before calculating the filing fee.

The filing fee has been calculated as shown below:

	No. of Claims	Extra Claims	Rate	Fee
Basic Application Fee				\$750
Total Claims	48	MINUS 20 = 28	28 x 18	404
Independent Claims	9	MINUS 3 = 6	6 X \$ 84	504
If Multiple Dependent Claims are presented, add \$280				-0-
Add Recording Fee of \$40.00 if Assignment document enclosed				-0-
Total Application Fee Due				\$1658

EXHIBIT A

- ☒ Please charge \$1,658.00 to Deposit Account No. 07-1048 (Docket No. GC541-4-C1). This paper is submitted in duplicate.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication, or credit any overpayment, to Deposit Account No. 07-1048 (Docket No. GC541-4-C1). This paper is submitted in duplicate.
- ☒ Any additional fees required under 37 CFR 1.16.
- ☒ Any patent application processing fees under 37 CFR 1.17.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application, or credit any overpayment, to Deposit Account No. 07-1048 (GC541-4-C1). This paper is submitted in duplicate.
- ☒ Any patent application processing fees under 37 CFR 1.17.
- ☒ Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Respectfully submitted,


H. Thomas Anderton, Jr.
Registration No. 40,895

Genencor International, Inc.
925 Page Mill Road
Palo Alto, CA 94034-1013
Tel: (650) 846-7500
Fax: (650) 845-6504

Date: July 30, 2003

EXHIBIT B

Applicant Name	Unknown	Filing/Issue Date	Has/Will
Applicant Address	Genencor International, Inc.		
Sponsor and Use of GDC: No further reasons			
Case No.	2004-005	Any Security Issues	Yes/No
Date of Issue	April 1, 2007	Docket Due Date	April 1, 2007
This Patent Was Received In The U.S. Patent And Trademark Office On The Date Stamped Below			
Transmittal for New Utility Application (2 pages, orig. + duplicate)			
Specification, including the cover page (41 pages)			
Claims (1 page)			
Drawings (1 page)			
Drawing (format) - 20 sheets			
Receipt Postcard			
2325252_1.DOC			

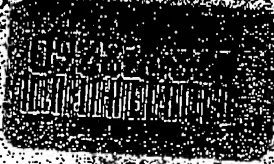


EXHIBIT B

**POST OFFICE
TO ADDRESSEE**



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ORIGIN (POSTAL USE ONLY)		
PO ZIP Code A113	Day of Delivery <input type="checkbox"/> Next <input checked="" type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>
Date In 04/02/01	<input type="checkbox"/> 12 Noon <input checked="" type="checkbox"/> 2 PM	Postage \$ 16.00
Time In 7:50 PM	<input type="checkbox"/> 1st Day <input type="checkbox"/> 2nd Day	Return Receipt Fee
Weight 19 lbs	Int'l Alpha Country Code	COD Fee Insurance Fee
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials [Signature]	Total Postage & Fees \$ 16.00

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METHOD OF PAYMENT: Express Mail Corporate Acct. No.: Federal Agency Acct. No. or Postal Service Acct. No.:		NO DELIVERY <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday Customer Signature: _____	
FROM: (PLEASE PRINT) PHONE () _____ CKET # 23623-7052 CUSCHEN DOYLE BROWN & ERSEN EMBARCADERO CTR STE 1800 SAN FRANCISCO CA 94111-4067 Attn: Michael Shuster		TO: (PLEASE PRINT) PHONE () _____ BOX NEW PATENT APPLICATION ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON DC 20231-9999	

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Express Mail No. E:710203228US

Docket No. 23623-7052

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventors: Benjamin G. Davis, John Bryan Jones and Richard R. Bott
Serial No.: Unknown
Filing Date: Herewith
Title: Synthesis and Use of Glycodendrimer Reagents

EXHIBIT B

UTILITY PATENT APPLICATION & FEE TRANSMITTAL
(for nonprovisional applications under 37 CFR § 1.53(b))

Assistant Commissioner for Patents
BOX PATENT APPLICATION
Washington, D.C. 20231

Sir:

Transmitted herewith for filing in connection with the above-identified patent application are the following:

I. Elements of the Application		
<input checked="" type="checkbox"/> Application	[2] [43] [1] [1] [20]	pages of Cover Sheet pages of Specification, including the Cover Page page of Claims (One claim) page of Abstract sheets of Drawings [] Formal [X] Informal
<input checked="" type="checkbox"/> Declaration and Power of Attorney [] page(s) [X] Unexecuted [] Executed [] Copy from prior application (37CFR § 1.63(d))		
<input type="checkbox"/> Deletion of Inventors: [] page(s) of signed statement deleting inventor(s) (37CFR § 1.63(d) & 1.33(b))		
<input type="checkbox"/> Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)		
<input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission: [] page(s) of Sequence Listing (paper copy) [] disk(s) containing Sequence Listing (computer readable copy) [] page(s) of Statement Under 37 CFR 1.821(f)		
<input type="checkbox"/> Microfiche Computer Program Appendix _____		
II. Claim for U.S. Priority		
<input checked="" type="checkbox"/> This application is a <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input checked="" type="checkbox"/> Continuation-in-Part of Prior Application No. <u>09/347,029</u> , filed <u>July 2, 1999</u> and Application No. <u>09/556,466</u> filed <u>April 21, 2000</u> . (35 USC § 120)		
<input type="checkbox"/> This application claims the benefit under 35 U.S.C. § 119(e) of United States Application Serial No. <u>60/</u> filed <u>_____</u> . (Provisional Application)		
<input type="checkbox"/> The entire disclosure of the prior application referenced above, is considered as being part of the application filed herewith and is herein incorporated by reference in its entirety.		
III. Claim for Foreign Priority		
<input type="checkbox"/> This application claims the benefit under 35 USC § 119 of Prior Application No. _____ filed _____.		
<input type="checkbox"/> Certified Copy of Priority Document [] page(s)		
<input type="checkbox"/> English Translation of Priority Document [] page(s)		

Express Mail No. E:710203218US

Docket No. 23623-7052

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FEB 09 2007

EXHIBIT B

IV. Accompanying Documents

- ☐ Assignment Papers [] page(s) of Recordation Cover Sheet [] page(s) of Assignment
- ☐ Applicant(s) claims Small Entity Under 37 CFR § 1.27 [] Verified Small Entity Statement was previously filed in Prior Application No. _____ on _____
- ☐ Information Disclosure Statement [] page(s) of PTO-1449 [] copies of IDS References
- ☐ A Preliminary Amendment [] page(s)
- ☐ A copy of a Petition for Extension of Time (mos.) filed simultaneously in Prior Application No. _____
- ☐ A copy of a Submission of Processing & Retention Fee (37 CFR § 1.78(a)(1) which is being filed simultaneously in Prior Application No. _____
- ☐ Other _____ (specify)
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

V. Fee Calculation

<input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS	
			OTHER THAN SMALL ENTITY	SMALL ENTITY	\$
BASIC NATIONAL FILING FEE			\$ 710.00	\$ 355.00	\$ 710.00
EXTRA CLAIMS FEE					
CLAIMS	# FILED	# EXTRA	RATE	RATE	
Total Claims	1 - 20 =		0 x \$18.00	x \$ 9.00	\$ -0-
Independent claims	1 - 3 =		0 x \$80.00	x \$40.00	\$ -0-
MULTIPLE DEPENDENT CLAIM(S)					
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			\$270.00	\$135.00	\$ -0-
Fee for recordation of the enclosed assignment (37 CFR 1.21(h), 3.28, 3.31). N/A					
			(Numbers of Applications) x \$40.00		\$ -0-
OTHER FEES _____ (specify)					\$ -0-
OTHER FEES _____ (specify)					\$ -0-
TOTAL FEES =					\$ 710.00

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☒ Please charge Deposit Account No.: 50-1193, Docket No. 23623-7052, in the amount of \$710.00 to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1193, Docket No. 23623-7052.
A duplicate copy of this sheet is enclosed

SEND ALL CORRESPONDENCE TO:

(NAME)
McCutchen, Doyle, Brown & Enersen, LLP
Three Embarcadero Center, 28th Floor
San Francisco, CA 94111
Telephone: (415) 393-2000
Facsimile: (415) 393-2286

SIGNATURE

Michael J. Shuster, Ph.D.
NAME

April 2, 2001

DATE

41310
REGISTRATION NUMBER

Docket No. 23623-7052

Certificate of Mailing/Transmission (37 C.F.R. § 1.8(a)):

[X] Pursuant to 37 C.F.R. § 1.8, I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

[] Pursuant to 37 C.F.R. § 1.6(d), I hereby certify that this paper and all enclosures are being sent via facsimile on the date indicated below to the attention of Examiner _____ at Facsimile No. _____ at _____ a.m./p.m.

Dated: August 2, 2001

Name of Person Certifying: _____
Printed Name: Nancy Hine

Nancy Hine

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE - FEB 09 2007

Applicant: Davis et al.

Filing Date: April 2, 2001

Serial No.: 09/824,827

Title: Synthesis and Use of Glycodendrimer Reagents

Assignee: Genencor International, Inc.

Examiner: Not Assigned

Group Art Unit: Not Assigned

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

EXHIBIT C

Submission of Missing Parts of Application Under 37 C.F.R. 1.53

Sir,

In response to the Notice of Missing Parts of Application mailed on June 4, 2001, enclosed are the following items for filing in the above-referenced U.S. Patent Application:

- ☒ Declaration and Power of Attorney [4] pages
Payment for surcharge for late filing ☐ \$65.00 *small entity* ☒ \$130.00 *large entity*
- ☐ A Petition for Extension of Time. (___ months), [] page(s) Fee \$ _____
- ☐ Applicant(s) claim Small Entity Status under 37 CFR § 1.27.
- ☒ Copy of Notice of Missing Parts of Application dated June 4, 2001.
- ☐ Request for Refund under 37 CFR 1.28(a) for the overpayment of the filing fee and surcharge.
- ☒ Return Postcard.
- ☐ Other: _____

TOTAL FEES: \$130.00

EXHIBIT C**DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION**

As below named inventors,

We hereby declare that our residences, post office addresses and citizenships are as stated below next to our names.

We believe we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled: **SYNTHESIS AND USE OF GLYCODENDRIMER REAGENTS**, the specification of which

☐ is attached hereto.

☒ was filed on April 2, 2001 and assigned Application Serial Number 09/824,827.

We hereby state that we have reviewed and understand the contents of the above-identified specification, including the claims as amended by any amendment referred to above.

We acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

We hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign applications for patent or inventor's certificate, listed below and so identified, and we have also identified below any foreign application for patent or inventor's certificate on this invention filed by my or my legal representatives or assigns and having a filing date before that of the application on which priority is claimed.

Number	Country	Day/Month/Year Filed	Priority Claimed - Yes or No

We hereby claim the benefit under Title 35, United States Code, § 120 of any United States applications listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

Application Serial No.	Filing Date	Status
09/347,029	July 2, 1999	Pending
09/556,466	April 21, 2000	Pending

We hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States provisional application in the

EXHIBIT C

Docket No. 23623-7052

- ☒ Conditional Petition for Extension of Time: An extension of time is requested to provide for timely filing if an extension of time is still required after all papers filed with this communication have been considered.
- ☐ Check in the amount of \$ _____, Check No. _____ to cover the Total Fees due is enclosed.
- ☒ Please charge the above fee(s) to Deposit Account No. 50-1193, Docket No. 23623-7052, in the amount of \$130.00 to cover the above fees. *A duplicate copy of this sheet is attached.*
- ☒ The Commissioner is hereby authorized to charge payment of any additional fees due or credit any overpayment to Deposit Account No. 50-1193, Docket No. 23623-7052. *A duplicate copy of this sheet is enclosed.*

Having now complied with all of the requirements of 37 C.F.R. 1.53, applicant respectfully requests that this application be placed upon the files for examination.

Date: August 2, 2001

Respectfully submitted,

By: 

John W. Calkins, Esq.
Registration No. 43,523

McCutchen, Doyle, Brown & Enersen, LLP
Three Embarcadero Center
San Francisco, California 94111
Telephone: (415) 393-2000
Telefax: (415) 393-2286

EXHIBIT C

manner provided by the first paragraph of Title 35, United States Code, § 112, we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior provisional application and the filing date of this application.

Provisional Application No.	Filing Date	Status

We hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

We hereby appoint the following attorneys and agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith and request that all correspondence and telephone calls with respect to this application be directed to

McCUTCHEN, DOYLE, BROWN & ENERSEN, LLP
 Three Embarcadero Center,
 San Francisco, California 94111
 Telephone No. (415) 393-2000
 Facsimile No. (415) 393-2286

Attorney	Registration No.	Attorney	Registration No.
David Beck	37,776	John W. Calkins	43,523
Patricia R. Coleman James	37,155	Darren E. Donnelly	44,093
Terry Garnett	44,698	Carol M. Gruppi	37,341
J. David Hadden	40,629	Susan Hubl	47,668
David W. Maher	40,077	Christian Platt	46,998
Roger Sampson	44,314	Michael J. Shuster	41,310
William E. Thomson, Jr.	20,719	Michael E. Woods	33,466
Rajiv Yadav	43,999	Vincent K. Yip	42,245

Full name of
first joint inventor:

Benjamin G. Davis

Inventor's signature:

Benjamin G. Davis

Date:

1/8/01

Residence

Post Office Address:

Citizenship:

1 Finney Terrace
 Durham, DH1 1RT, United Kingdom
 United Kingdom

EXHIBIT C

Full name of
second joint inventor:

John Bryan Jones

Inventor's signature:

JB Jones

Date:

24 July 2001

Residence

Post Office Address:

Citizenship:

1275 Seaforth Crescent, RR3
Lakefield, Ontario, Canada K01 2H0
Canada

Full name of
third joint inventor:

Richard R. Bott

Inventor's signature:

Date:

Residence

Post Office Address:

Citizenship:

3032 Hillside Drive
Burlingame, CA 94010
United States

EXHIBIT C

Full name of
second joint inventor:

John Bryan Jones

Inventor's signature:

Date: _____

Residence
Post Office Address:
Citizenship:

1275 Seaforth Crescent, RR3
Lakefield, Ontario, Canada K0L 2H0
Canada

Full name of
third joint inventor:

Richard R. Bott

Inventor's signature:

Date: 1 - August 2001

Residence
Post Office Address:
Citizenship:

3032 Hillside Drive
Burlingame, CA 94010
United States

EXHIBIT C



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/824,827	04/02/2001	Benjamin G. Davis	23623-7052

CONFIRMATION NO. 2521

FORMALITIES LETTER

1 0 5 0 1 0 1 1
OC00000006141150

McGutchen, Doyle, Brown & Enersen, LLP
Three Embarcadero Center, 28th Floor
San Francisco, CA 94111

Date Mailed: 06/04/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

H-T

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Docket No. 23623-7052

Certificate of Mailing/Transmission (37 C.F.R. § 1.8(a)):

☒ Pursuant to 37 C.F.R. § 1.8, I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

☐ Pursuant to 37 C.F.R. § 1.6(d), I hereby certify that this paper and all enclosures are being sent via facsimile on the date indicated below to the attention of Examiner _____ at Facsimile No. _____ at _____ a.m./p.m.

Dated: July 17, 2001

Name of Person Certifying: Nancy Hine
Printed Name: Nancy Hine

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Davis et al.

Assignee: Genencor International, Inc.

Filing Date: April 2, 2001

Examiner: Not Assigned

Serial No.: 09/824,827

Group Art Unit: Not Assigned

Title: Synthesis and use of Glycodendrimer Reagents

Applications Processing Division
Customer Correction Branch
Assistant Commissioner for Patents
Washington, D.C. 20231

EXHIBIT D

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Applicant respectfully requests that the Official Filing Receipt (PTO form 103P) for the above-identified patent application, a copy of which is attached with the correction marked in red ink, be corrected. The Filing Receipt contains an error in the Applicant Residence Section.

Please correct the Filing Receipt to read as follows:

Please change [Residence Not Provided] and insert

Benjamin G. Davis --Durham, United Kingdom--;

John Bryan Jones --Lakefield, Ontario, Canada--;

Richard R. Bott --Burlingame, CA--.

- ☒ The correction is not due to any error by applicant and no fee is due. If for any reason a fee is found to be necessary, our Deposit Account No. 50-1193 (docket No. 23623-7052) may be charged therefore.

A duplicate copy of this sheet is enclosed.

- ☐ At least one of the above corrections is due to applicant's error and the fee under 37 CFR §1.19(h) of \$25.00 is paid as follows:

☐ Enclosed is Check No. _____ for \$25.00.

EXHIBIT D**Docket No. 23623-7052**

- ☐ Please charge Deposit Account No. _____, in the amount of \$ _____ to cover the above-fees. *A duplicate copy of this sheet is enclosed.*
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1193, (Docket No. 23623-7052) *A duplicate copy of this sheet is enclosed.*

DATE: July 17, 2001

Respectfully submitted,

By: 

Michael J. Shuster, Ph.D.

Registration No.: 41,310

McCutchen, Doyle, Brown & Enersen, LLP
Three Embarcadero Center
San Francisco, California 94111
Telephone: (415) 393-2000
Telefax: (415) 393-2286

EXHIBIT D



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20531
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/824,827	04/02/2001	1652	710	23623-7052	20	1	1

McCutchen, Doyle, Brown & Enersen, LLP
Three Embarcadero Center, 28th Floor
San Francisco, CA 94111

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JUN - 6 2001

MOB&E

CONFIRMATION NO. 2521

FILING RECEIPT.

00000000006141149

Date Mailed: 06/04/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Benjamin G. Davis, Residence Not Provided; Durham, United Kingdom
John Bryan Jones, Residence Not Provided; Lakefield, Ontario, Canada
Richard R. Bott, Residence Not Provided; Burlington, CA

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/347,029 07/02/1999
AND A CIP OF 09/556,466 04/21/2000

Foreign Applications

If Required, Foreign Filing License Granted 06/01/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Synthesis and use of glycodendrimer reagents

Docketed: 23623-7052
 Action: Notice
 Date Due: 10/2/02
 Office Use:
 Unrecorded By: KLB
 Attorney App:
 Filed By:

EXHIBIT D

Serial/Patent No.: 09/824,837 Filing/Issue Date: April 2, 2001
Client: Genencor International, Inc.
Title: Synthesis and Use of Glycodendrimer reagents
Docket No.: 23623-7052 Atty/Sec'y Initials: mjs/jwd
Date Mailed: July 17, 2001 Docket Due Date: N/A
The Following Was Received In The U.S. Patent And Trademark Office On The Date Stamped Hereon:
Request for Corrected Filing Receipt (2 pages, orig. + duplicate)
Copy of Filing Receipt with corrections marked in red (1 page)
Return Receipt Postcard.



21356329_1.DOC

Serial/Patent No.: 09/824,837 Filing/Issue Date: April 2, 2001
Client: Genencor International, Inc.
Title: Synthesis and Use of Glycodendrimer reagents
Docket No.: 23623-7052 Atty/Sec'y Initials: mjs/jwd
Date Mailed: July 17, 2001 Docket Due Date: N/A

The Following Was Received In The U.S. Patent And Trademark Office On The Date Stamped Hereon:

Request for Corrected Filing Receipt (2 pages, orig. + duplicate)
Copy of Filing Receipt with corrections marked in red (1 page)
Return Receipt Postcard.

21356329_1.DOC

EXHIBIT E**Notice of Allowability**

Application No.

09/824,827

Applicant(s)

DAVIS ET AL.

Examiner

Kathleen Kahler Fonda, Ph.D.

Art Unit

1623

- The MAILING DATE of this communication appears on the cover sheet with the correspondence address-

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to IDS of 7-23-01, 10-9-01, and 3-5-02; prel amdt of 7-30-02.
 2. ☒ The allowed claim(s) is/are 2-39.
 3. ☒ The drawings filed on 02 April 2001 are accepted by the Examiner.
 4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
 - a) ☐ All b) ☐ Some* c) ☐ None of the:
 1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).
- * Certified copies not received: _____.
5. ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(a) (to a provisional application).
 - (a) ☐ The translation of the foreign language provisional application has been received.
 6. ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. **THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

7. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
8. ☐ CORRECTED DRAWINGS must be submitted.
 - (a) ☐ Including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached.
 - 1) ☐ hereto or 2) ☐ to Paper No. _____.
 - (b) ☐ including changes required by the proposed drawing correction filed _____, which has been approved by the Examiner.
 - (c) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No. _____.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the top margin (not the back) of each sheet. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.

9. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

- | | |
|---|---|
| 1 <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 2 <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3 <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 4 <input type="checkbox"/> Interview Summary (PTO-413), Paper No. _____ |
| 5 <input checked="" type="checkbox"/> Information Disclosure Statements (PTO-1449), Paper No. <u>4-6.</u> | 6 <input type="checkbox"/> Examiner's Amendment/Comment |
| 7 <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit of Biological Material | 8 <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| | 9 <input type="checkbox"/> Other |

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY
(Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER
200649/1062 (GE-541-3)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

CHEMICALLY MODIFIED PROTEINS WITH A CARBOHYDRATE MOIETY

the specification of which (check only one item below):

EXHIBIT F

- ☐ is attached hereto. **GC541-3**
- ☒ was filed as U.S. Patent Application Serial No. 09/347,029 on July 2, 1999 and was amended on _____ (if applicable).
- ☐ was filed as PCT International Application Number _____ on _____ and was amended under PCT Article 19 on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specifications, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (If PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
United States	60/131,446	28-APRIL-1999	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
United States	60/091,687	02-JULY- 1998	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

Page 1 of 2

EXHIBIT F



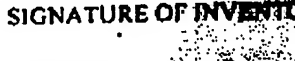
COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (Continued) (Includes Reference to PCT International Applications)				ATTORNEY'S DOCKET NUMBER 200649/1062 (GC 541-3)	
I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in this/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:					
PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:					
U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER		U.S. FILING DATE	PATENTED	PENDING	ABANDONED
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			
POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. Michael L. Goldman, Registration No. 30,727, Gunnar G. Leinberg, Registration No. 35,584; Dennis M. Connolly, Registration No. 40,964; Edwin V. Merkel, Registration No. 40,087, Jeffery B. Arnold, Registration No. 39,540, Georgia Caton, Registration No. P-44,597					
Send Correspondence to: Michael L. Goldman Nixon Peabody LLP Clinton Square, P.O. Box 1051 Rochester, New York 14603			Direct telephone calls to: Michael L. Goldman (716) 263-1304		
201	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/COUNTRY	
		Jones	J.	Bryan	
		Lakefield	Ontario, Canada	Canada	
		1275 Seaforth Crescent, RR 3	Lakefield	Ontario K0L 2H0/Canada	
202	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/COUNTRY	
		Davis	Benjamin	G.	
		Durham	United Kingdom	United Kingdom	
		The Castle	Durham	United Kingdom	
203	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/COUNTRY	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.					
SIGNATURE OF INVENTOR 201		SIGNATURE OF INVENTOR 202		SIGNATURE OF INVENTOR 203	
					

EXHIBIT F

**COMBINED DECLARATION FOR PATENT
APPLICATION AND POWER OF ATTORNEY**
(Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER
200649/1062 (GC 541-3)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

CHEMICALLY MODIFIED PROTEINS WITH A CARBOHYDRATE MOIETY

the specification of which (check only one item below):

☐ is attached hereto.

GC541-3

☒ was filed as U.S. Patent Application Serial No. 09/347,029 on July 2, 1999 and was amended on _____ (if applicable).

☐ was filed as PCT International Application Number _____ on _____ and was amended under PCT Article 19 on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specifications, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).


I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (IF PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
United States	60/131,446	28-APRIL-1999	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
United States	60/091,687	02-JULY-1998	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

Page 1 of 3

EXHIBIT F

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (Continued) (Includes Reference to PCT International Applications)				ATTORNEY'S DOCKET NUMBER 200649/1062 (GC 541537)	
I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT International filing date of this application:					
PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:					
U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER		U.S. FILING DATE	PATENTED	PENDING	ABANDONED
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			
POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. Michael L. Goldman, Registration No. 30,727, Gunnar G. Leinberg, Registration No. 35,584; Dennis M. Connolly, Registration No. 40,964; Edwin V. Merkel, Registration No. 40,087, Jeffery B. Arnold, Registration No. 39,540, Georgia Caton, Registration No. P-44,597					
Send Correspondence to: Michael L. Goldman Nixon Peabody LLP Clinton Square, P.O. Box 1051 Rochester, New York 14603			Direct telephone calls to: Michael L. Goldman (716) 263-1304		
201	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/COUNTRY	
		Jones	J.	Bryan	
		Lakefield	Ontario, Canada	Canada	
		1275 Scaforth Crescent, RR 3	Lakefield	Ontario. K0L 2H0/Canada	
202	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/COUNTRY	
		Davis	Benjamin	G.	
		Durham	United Kingdom	United Kingdom	
		The Castle	Durham	United Kingdom	
203	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/COUNTRY	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.					
SIGNATURE OF INVENTOR 201		SIGNATURE OF INVENTOR 202		SIGNATURE OF INVENTOR 203	
					

PTO-103X
(Rev. 6-89)

FILING RECEIPT

GC541-3



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/347,029	07/02/99	1635	\$1,234.00	200649/1062	18	42	4

MICHAEL L GOLDMAN
NIXON PEABODY LLP
CLINTON SQUARE
P O BOX 1051
ROCHESTER NY 14603

EXHIBIT G

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) BRYAN J. JONES, ONTARIO, CANADA; BENJAMIN G. DAVIS,
DURHAM, UNITED KINGDOM.

CONTINUING DATA AS CLAIMED BY APPLICANT-

PROVISIONAL APPLICATION NO. 60/131,446 04/28/99

PROVISIONAL APPLICATION NO. 60/091,687 07/02/98

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 07/28/99

~~TITLE~~

CHEMICALLY MODIFIED PROTEINS WITH A CARBOHYDRATE MOIETY

PRELIMINARY CLASS: 435

ENTERED
Nixon Peabody LLP

AUG 19 1999

FILE
DKT200649/1062
clg

DATA ENTRY BY: COUPLIN, JACKIE

TEAM: 01 DATE: 08/03/99

Notice of Allowability

Application No.

09/347,029

Applicant(s)

JONES ET AL.

Examiner

Manjunath N Rao

Art Unit

1652

- The MAILING DATE of this communication appears on the cover sheet with the correspondence address-

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to the communication of 9-25-01.

2. ☒ The allowed claim(s) is/are 11-20.

3. ☐ The drawings filed on _____ are accepted by the Examiner.

4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) ☐ All b) ☐ Some* c) ☐ None of the:

1. ☐ Certified copies of the priority documents have been received.

2. ☐ Certified copies of the priority documents have been received in Application No. _____.

3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.

5. ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

(a) ☐ The translation of the foreign language provisional application has been received.

6. ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. **THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

7. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

8. ☒ CORRECTED DRAWINGS must be submitted:

(a) ☒ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached

1) ☐ hereto or 2) ☒ to Paper No. 6.

(b) ☐ including changes required by the proposed drawing correction filed _____, which has been approved by the Examiner.

(c) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No. _____.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the top margin (not the back) of each sheet. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.

9. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1 ☐ Notice of References Cited (PTO-892)

3 ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

5 ☐ Information Disclosure Statements (PTO-1449), Paper No. _____

7 ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material

2 ☐ Notice of Informal Patent Application (PTO-152)

4 ☐ Interview Summary (PTO-413), Paper No. _____

6 ☐ Examiner's Amendment/Comment

8 ☒ Examiner's Statement of Reasons for Allowance

9 ☐ Other

PTO/SB/88 (08-04)

Approved for use through 07/31/2008. OMB 0851-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Benjamin G. Davis, Bryan J. Jones and Richard R. BottApplication No./Patent No.: 10/629,976 Filed/Issue Date: July 30, 2003Entitled: **Synthesis and Use of Glycodendrimer Reagents**Genencor International, Inc., a Delaware Corporation
(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

In the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment in prior application serial no. 09/824,827 was recorded on August 6, 2001, in the United States Patent and Trademark Office at Reel 012053, Frame 0214, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

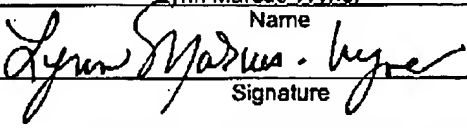
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Lynn Marcus-Wyner
Name

Signature
Senior Director, Intellectual Assets USA
Title

February 9, 2007
Date
650-846-7620
Telephone Number

PTO/SB/80 (04-05)

Approved for use through 11/30/2006, OMB 0651-0035

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby revoke all previous powers of attorney given in the application identified statement under 37 CFR 3.73(b).

I hereby appoint:

☐ Practitioners associated with the Customer Number:**OR**☒ Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number		Name	Registration Number
Janet Kaiser Castaneda	33,228		Victoria L. Boyd	43,510
Lynn Marcus-Wyner	34,869		Elena E. Quetermous	47,873
Kamrin T. MacKnight	38,230		Michael F. Kolman	54,234

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:

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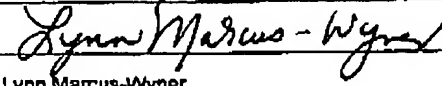
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Assignee Name and Address: Genencor International, Inc., 925 Page Mill Road, Palo Alto, CA 94304-1013

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SIGNATURE of Assignee of Record

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature		Date: January 26, 2007
Name	Lynn Marcus-Wyner	Telephone: (650) 846-7620
Title	Senior Director Intellectual Assets USA	

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